



NEW YORK  
REGIONAL OFFICE

UNITED STATES  
**SECURITIES AND EXCHANGE COMMISSION**  
BROOKFIELD PLACE, 200 VESEY STREET, SUITE 400  
NEW YORK, NY 10281-1022

October 26, 2021

**By ECF**

Alvin K. Hellerstein  
United States District Judge  
United States District Court  
Southern District of New York  
Daniel Patrick Moynihan United States Courthouse  
500 Pearl Street, Room 1050  
New York, NY 10007

Re: **SEC v. Global Investment Strategy UK Ltd. and John William Gunn,  
20-cv-10838 (AKH)**

Dear Judge Hellerstein:

Plaintiff Securities and Exchange Commission ("SEC"), on behalf of itself and Defendants, respectfully writes to inform the Court that the parties have reached an agreement in principle on the terms of a consensual resolution of the claims in the Complaint. Counsel for the SEC intends to submit the proposed settlement to the Commission for its consideration, a process that can take six to eight weeks. If the Commission approves the settlement, the parties will submit proposed final consent judgments to the Court for its review. Finally, the parties request that in view of the foregoing that the Court adjourn the initial case management conference scheduled for November 4, at 10:30 am (Dkt. 32).

Respectfully submitted,

*/s/ David Stoelting*

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David Stoelting  
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cc (by ECF): Caryn Schectman, Esq.  
Counsel for Defendants

The request is granted. The conference is adjourned from November 4, 2021 to September 9, 2022 at 10:00 a.m.

SO ORDERED.

/s/ Alvin K. Hellerstein  
October 27, 2021